

## Texas Department of Banking

### INFORMATION FOR COMPLETING BIOGRAPHICAL REPORT

A complete Confidential Biographical and Financial Report must be filed by each proposed director, executive officer and principal stockholder. A principal stockholder is one who will own or control 10% or more of the outstanding common stock. Any person who proposes to assume any of these positions must file this report.

The Texas Department of Banking may request additional information or clarification of any information submitted. The accuracy and completeness of the information may be verified by the Department.

All Biographical and Financial Reports must be printed or typed. Questions must be answered completely and may not be left blank. **If the answer is "No," "None," or "Not Applicable," so state.** If an item of information is unknown to you, so state. To the extent possible, questions should be answered in the spaces provided; additional pages may be inserted, if necessary. Information on insert pages must be keyed by number and letter to the appropriate questions.

An inaccurate or incomplete report may be rejected, could result in a delay in processing the application and could lead to denial.

# Texas Department of Banking

## PUBLIC INFORMATION

### Biographical Data

#### Part A

1. Name: \_\_\_\_\_  
(First Name) (Middle Name) (Last Name)
2. Residence \_\_\_\_\_  
(Number and Street)  
\_\_\_\_\_  
(City) (State) (Zip Code)
3. Proposed Director \_\_\_\_\_ Officer \_\_\_\_\_  
Principal Stockholder \_\_\_\_\_ Other \_\_\_\_\_
4. Name of Regulated Entity \_\_\_\_\_
5. Employment:  
(a) Provide the following information in reverse chronological order regarding your employment, self-employment, or period of unemployment during the past fifteen (15) years. Use additional sheets to provide the same information for each employer.  
Name of Employer: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Name and Title: \_\_\_\_\_  
of Supervisor: \_\_\_\_\_  
Description of \_\_\_\_\_  
Business: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Dates Employed: \_\_\_\_\_  
Reason for Leaving \_\_\_\_\_  
Title and Job \_\_\_\_\_  
Description \_\_\_\_\_  
\_\_\_\_\_  
How did the institution perform in the area for which you were responsible? \_\_\_\_\_

**Note:** If you are a proposed director or officer of the proposed entity, provide complete details of

your banking or related experience. Include information on positions held in banks, savings institutions, credit unions or trust companies, number of employees supervised, lending authority, etc. Use insert pages if necessary.

6. List any bank, trust company or regulated institution for which you have been or are a principal stockholder or director. Principal stockholders are those who own or control, either directly or indirectly, ten percent or more of the stock. Include percentage of ownership.

7. Educational and Professional Credentials.

(a) Include high school, college and graduate schools.

<u>Name of School</u>	<u>Location</u>	<u>Dates of Attendance</u>	<u>Degree or Major</u>
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(b) Set forth the required information regarding each professional license or similar certificate you now hold or have ever held. (Examples: Attorney, Physician, C.P.A., Teacher)

<u>License</u>	<u>Issued By</u>	<u>Date Issued</u>	<u>Amount of Time Devoted to This Activity</u>	<u>Date Revoked and Reason (if applicable)</u>
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**Texas Department of Banking**  
**CONFIDENTIAL INFORMATION**

Biographical Data

Part B

1. Name: \_\_\_\_\_
2. Name of Proposed Entity: \_\_\_\_\_
3. Citizenship: \_\_\_\_\_
4. List all principal residences you have had over the past ten (10) years that are different from that shown in Part A.

5. If you have been discharged or asked to resign from any past employment, provide the following information:

<u>Name of Employer</u>	<u>Date of Discharge</u>	<u>Explanation</u>
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6. Law Enforcement or Disciplinary Proceedings.

(a) Provide information regarding any arrest, indictment, or conviction by any law enforcement agency, other than minor traffic violations. Indicate the nature of the charge, date, jurisdiction and location, and disposition of the matter.

(b) Provide information regarding any charge, indictment or conviction by any law enforcement agency, against any business or enterprise with which you have been associated as an officer, director or principal shareholder (owning ten percent or more of the outstanding stock). Indicate the name of the business, your interest, the nature of the charge, date, jurisdiction and location, and disposition of the matter.

(c) Describe any action or proceeding against you or a company with which you are or were associated by any government regulatory agency or professional organization which could have resulted in a sanction, loss of right or benefit, revocation of license, etc. Give the name of the organization, the nature of the proceedings, and the disposition and date.

7. (a) Have you ever been in a position which required a fidelity bond? If any claims were made on the bond, give details.

(b) Have you ever been denied an individual or position fidelity bond, or had a bond canceled or revoked? If yes, give details.

8. Have you ever been refused a professional, occupational or vocational license by any public or governmental licensing agency or regulatory authority, or has any such license held by you ever been suspended or revoked? If yes, give details.

9. Have you or any corporation, partnership, or other entity in which you were an officer, director, trustee, investment committee member, key employee, or principal stockholder (owning ten percent or more of stock) been named in any complaint, pleading, judgment, order, or decree filed in any federal, state or municipal court lawsuit which cited violations or alleged violations of any federal or state statute or regulation? If yes, give details

10. Have you ever been an officer, director, trustee, investment committee member, key employee, or principal stockholder of any state or federally chartered bank, trust company,

savings institution, credit union or other financial institution which became insolvent or was placed under supervision or in receivership, rehabilitation, liquidation or conservatorship while you occupied any such position or within one year thereafter? If yes, give details.

11. Has the certificate of incorporation or authority or license to do business as any state or federally chartered bank, trust company, savings institution, credit union or other financial institution of which you were an officer, director or key management person ever been suspended or revoked while you occupied any such position or within one year thereafter? If yes, give details.

12. Have you ever been requested, advised, ordered or told by any regulatory authority or government agency to:

(a) divest any stock ownership or other ownership interest you have in any savings institution, bank, trust company, credit union or other financial institution? If yes, give details.

(b) leave or resign as an officer, director, agent, employee, consultant or representative of any bank, trust company, savings institution, credit union or other financial institution? If yes, give details.

13. Are you or any corporation, partnership or other entity in which you are an officer, director, trustee, investment committee member, key employee, or principal stockholder (owning ten per cent or more of common stock) involved as a named party in any ongoing or pending legal or administrative hearing, proceeding, or investigation? If yes, give details.

14. Present any other information you believe is important in determining your personal qualifications.

15. Discuss the role you will have in organizing or operating the proposed state bank or trust company.

Dated and signed this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_. I hereby certify under penalty of perjury that I am acting on my own behalf, and that the foregoing statements contained in Part A and Part B of this Biographical Data report are true and correct.

\_\_\_\_\_  
(Signature of Affiant)

STATE OF TEXAS

COUNTY OF \_\_\_\_\_

Personally appeared before me the above named, \_\_\_\_\_, personally known to me, who, being duly sworn, deposes and says that he executed the above instrument and that the statements and answers contained therein are true and correct.

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
(Notary Public)

(Seal)

My Commission expires \_\_\_\_\_